

DEPARTMENT OF JUSTICE
STATE BUREAU OF INVESTIGATION
PRIVATE PROTECTIVE SERVICES DIVISION

Records Retention and Disposition Schedule

The Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the


PRIVATE PROTECTIVE SERVICES DIVISION


do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule. Public records including machine readable records not listed in this schedule are not authorized to be destroyed. The

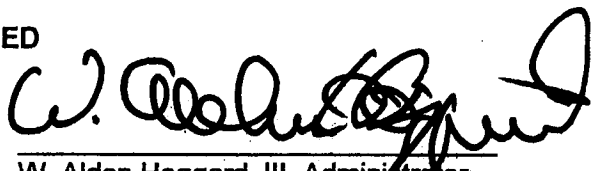
PRIVATE PROTECTIVE SERVICES DIVISION

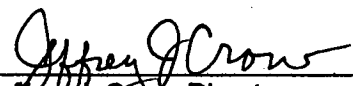
agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED

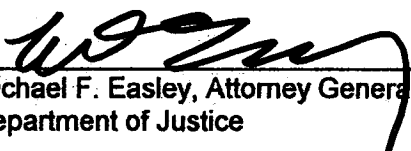

Linda Pulliam, Records Officer
State Bureau of Investigation



James J. Conlan, Director
State Bureau of Investigation


W. Alden Hoggard, III, Administrator
Private Protective Services Division


Jeffrey B. Crow, Director
Division of Archives and History

APPROVED


Michael F. Easley, Attorney General
Department of Justice


Betty Ray McCain, Secretary
Department of Cultural Resources

NORTH CAROLINA
DEPT. OF ATTORNEY GENERAL
RECEIVED

November 10, 1997

DEC 4 1997

MS

Referred to _____
Answered By _____

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STATE BUREAU OF INVESTIGATION
PRIVATE PROTECTIVE SERVICES DIVISION

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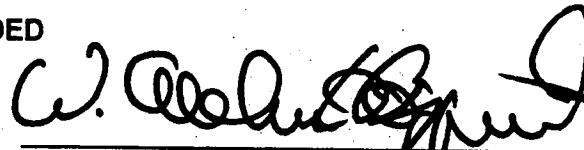
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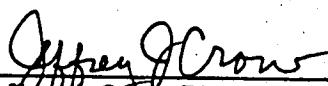
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Linda Pulliam, Records Officer
State Bureau of Investigation

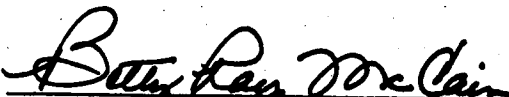

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This schedule was modified to
comply with the provisions of the
General Schedule for State Agency Records,
effective October 1, 2000
Remaining items retain the
original date shown below.

**DEPARTMENT OF JUSTICE
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PRIVATE PROTECTIVE SERVICES DIVISION**

ITEM 3925. INACTIVE REGISTER EMPLOYEES FILE.

Records concerning individuals whose registration has expired or been revoked. File includes applications for registration or recertification, registration stubs, and other related records. (Comply with applicable provisions of G.S. 74C-11, 74C-13, 74D-8, 12 North Carolina Administrative Code 7D.0700, 7D.0800, and 12 North Carolina Administrative Code 11.0300 regarding the issuance of permits and recertification for permits.) (Comply with applicable provisions of 5 USC Sec. 552a regarding records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, transfer to the State Records Center after completion of action and resolution of issues involved. Records will be held in the State Records Center 5 additional years then destroyed. Destroy records currently stored in the State Records Center 5 years from date received.

ITEM 4093. UNARMED REGISTERED EMPLOYEES FILE.

Records concerning employees of security companies registered pursuant to G.S. 74C-13 and 12 North Carolina Administrative Code 7D .0900. File includes applications for registration or recertification. (Comply with applicable provisions of 5 USC Sec. 552a regarding records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Records transferred to Inactive Register Employees File (Item 3925). Destroy records currently stored in the State Records Center 5 years from date received.

ITEM 16625. CORRESPONDENCE FILE.

Correspondence, memorandums, printed and published materials, and other related records used in managing the division. (Portions of file are restricted by G.S. 132-1.4)

DISPOSITION INSTRUCTIONS: Transfer non-confidential records to the State Records Center after 5 years. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives. Destroy in office confidential records when administrative value ends.

ITEM 16626. SECTION MINUTES FILE.

Microfilm and paper copies of all regular and special meetings of the division.

DISPOSITION INSTRUCTIONS: Transfer paper records concerning Alarm Systems Licensing Board minutes to Alarm Systems Licensing Board Minutes File (Item 39699) immediately. Transfer paper records concerning Private Protective Services Board minutes to Private Protective Services Board Minutes File (Item 39715) immediately. Destroy in office remaining paper records when reference value ends. Retain copy of microfilm in security vault permanently.

ITEM 16627. INACTIVE LICENSE PENDING APPLICATIONS FILE.

Applications for licensure awaiting action by the Private Protective Services Board and/or Alarm Systems Licensing Board. File also includes copies of high school diplomas, background investigation reports, letters of recommendations, and other related records. (Comply with applicable provisions of 5 USC Sec. 552a regarding records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Transfer to Active Licensees File (Item 16628) or Inactive Licensees File (Item 16629) as appropriate when division action is completed.

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ITEM 16628. ACTIVE LICENSEES FILE.

Records concerning each licensee licensed by the Private Protective Services Board and Alarm Systems Licensing Board, as well as those licensees currently under suspension. File includes correspondence, applications for license, background investigation reports, letters of recommendation, and other related records. (Comply with applicable provisions of 5 USC Sec. 552a regarding records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Transfer to Inactive Licensees File (Item 16629) upon expiration or revocation of license.

ITEM 16629. INACTIVE LICENSEES FILE.

Records concerning each licensee whose license has expired or has been revoked. File includes correspondence, applications for license, background investigation reports, letters of recommendation, transcripts of hearings or court proceedings (if applicable), and other related records. (Comply with applicable provisions of 5 USC Sec. 552a regarding records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, transfer to the State Records Center after completion of action and resolution of issues involved. Records will be held in the State Records Center 5 additional years and then destroyed.

ITEM 16630. LICENSEES CARD FILE.

Cards listing names, addresses, and telephone numbers of each agency and licensee licensed by the Private Protective Services Board and Alarm Systems Licensing Board. (Comply with applicable provisions of 5 USC Sec. 552a regarding records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 16632. PROPRIETARY SECURITY ORGANIZATIONS FILE.

Records concerning proprietary security organizations registered in North Carolina. File includes applications and correspondence. Information entered into Proprietary Security Organizations Database (Electronic) File (Item 39717). (Comply with applicable provisions of G.S. 74C-13 and 12 North Carolina Administrative Code 7D.0800 regarding registration of armed security personnel). (Comply with applicable provisions of 5 USC Sec. 552a regarding records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 years of inactivity if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, transfer to the State Records Center after completion of action and resolution of issues involved. Records will be held for agency in the State Records Center 5 additional years and then destroyed.

ITEM 16633. FIREARMS TRAINERS CERTIFICATE HOLDERS FILE.

Records concerning individuals certified to give firearms training to armed security personnel. File includes applications for trainer certification or recertification. (Comply with applicable provisions of G.S. 74C-13 and 12 North Carolina Administrative Code 7D.0800 and 7D.0900 regarding firearms training.) (Comply with applicable provisions of 5 USC Sec. 552a regarding records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Transfer to Inactive Licensees File (Item 16629) upon expiration or revocation of license. Destroy records currently stored in the State Records Center 5 years from date received.

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ITEM 28767. ALARM REGISTERED EMPLOYEES FILE.

Applications received for registration of alarm systems installers. File includes correspondence with applicant and section, requests for additional information, and other related records. (Comply with applicable provisions of 5 USC Sec. 552a regarding records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Records transferred to Active Register Employees File (Item 39697). Destroy records currently stored in the State Records Center 5 years from date received.

ITEM 28768. DENIALS OF REGISTRATION FILE.

Registrations that have been denied. File includes registration applications, correspondence with the applicant and the section, and denial letters. (Comply with applicable provisions of 5 USC Sec. 552a regarding records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Records transferred to Inactive Register Employees File (Item 3925). Destroy records currently stored in the State Records Center 5 years from date received.

ITEM 35353. COMPANY FILE.

Records concerning each licensed company. File includes audit reports, quarterly temporary employee reports, correspondence, termination notices, registration denial letters, and other related records. (Comply with applicable provisions of 5 USC Sec. 552a regarding records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Destroy in office after 10 years of inactivity if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issued involved.

ITEM 39696. ACTIVE REGISTER EMPLOYEES DATABASE (ELECTRONIC) FILE.

Machine readable records concerning certified armed, unarmed security officers, and/or alarm systems installers. Electronic file includes applicants' names, social security numbers, applicants' date of birth, types of permits issued, expiration dates, and other related data. (Comply with applicable provisions of G.S. 74C-11, 74C-13, 74D-8, 12 North Carolina Administrative Code 7D.0700, 7D.0800, and 12 North Carolina Administrative Code 11.0300 regarding the issuance of permits and recertification for permits.) (Comply with applicable provisions of 5 USC Sec. 552a regarding records maintained on individuals.) (Electronic database systems are maintained by Division of Criminal Information (DCI).)

DISPOSITION INSTRUCTIONS: Transfer 1 security copy of each data cartridge to an off-site location for back-up storage. Agency representative will update in office electronic file routinely. Erase in office data cartridges after 10 years of inactivity.

ITEM 39697. ACTIVE REGISTER EMPLOYEES FILE.

Records concerning individuals certified to be armed, unarmed security officers, and/or alarm systems installers. File includes correspondence, registration stubs, applications for registration or recertification, and other related records. Information entered into Active Register Employees Database (Electronic) File (Item 39696) and Firearms Trainers Certificate Holders Database Electronic File (Item 39706). (Comply with applicable provisions of G.S. 74C-11, 74C-13, 74D-8, 12 North Carolina Administrative Code 7D.0700, 7D.0800, and 12 North Carolina Administrative Code 11.0300 regarding the issuance of permits and recertification for permits.) (Comply with applicable provisions of 5 USC Sec. 552a regarding records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Transfer to Inactive Register Employees File (Item 3925) upon expiration or revocation of certification.

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ITEM 39699. ALARM SYSTEMS LICENSING BOARD FILE.

Minutes of the Alarm Systems Licensing Board. (Records dated August 1973-December 1994 previously microfilmed under Section Minutes File (Item 16626). (This is an essential agency record.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center immediately to be microfilmed for permanent storage in the security vault. Microfilmed paper records will be returned to agency. Transfer returned paper records to the State Records Center when reference value ends. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives. Transfer a duplicate copy of subsequent minutes to the State Records Center for security storage.

ITEM 39701. CONCEALED WEAPONS CARRY ENDORSEMENT FILE.

Records concerning individuals authorized to carry concealed weapons in performance of Private Protective Services activities. File includes applicants' names, social security numbers, Private Protective Services endorsement numbers, registration expiration dates, conceal expiration dates, and other related records. Information entered into Concealed Weapons Carry Endorsement Database (Electronic) File (Item 39702). (Comply with applicable provisions of G.S. 74C-5, 74C-13 and 12 North Carolina Administrative Code regarding registration of armed individuals.) (Comply with applicable provisions of 5 USC Sec. 552a regarding records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 year(s). Records will be held for agency in the State Records Center 5 additional years and then destroyed.

ITEM 39702. CONCEALED WEAPONS CARRY ENDORSEMENT DATABASE (ELECTRONIC) FILE.

Machine readable records concerning individuals authorized to carry concealed weapons in performance of Private Protective Services activities. Electronic file includes applicants' names, social security numbers, Private Protective Services endorsement numbers, registration expiration dates, conceal expiration dates, and other related data. (Comply with applicable provisions of G.S. 74C-5, 74C-13 and 12 North Carolina Administrative Code regarding registration of armed individuals.) (Comply with applicable provisions of 5 USC Sec. 552a regarding records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Transfer 1 security copy of each data cartridge to an off-site location for back-up storage. Agency representative will update in office electronic file routinely. Erase in office data cartridges when administrative value ends.

ITEM 39706. FIREARMS TRAINERS CERTIFICATE HOLDERS DATABASE (ELECTRONIC) FILE.

Machine readable records concerning individuals certified to be firearms trainers. Electronic file includes applicants' names, social security numbers, applicants' date of birth, types of permits issued, expiration dates, and other related data. (Comply with applicable provisions of G.S. 74C-13 and 12 North Carolina Administrative Code 7D.0900 regarding the issuance of permits and recertification for permits.) (Comply with applicable provisions of 5 USC Sec. 552a regarding records maintained on individuals.) (Electronic database systems are maintained by Division of Criminal Information (DCI).)

DISPOSITION INSTRUCTIONS: Transfer 1 security copy of each data cartridge to an off-site location for back-up storage. Agency representative will update in office electronic file routinely. Erase in office data cartridges after 10 years of inactivity.

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ITEM 39707. INQUIRIES/INVESTIGATIONS FILE.

Records concerning alleged illegal activities and/or violations of Private Protective Service Board Act and Alarm Systems Licensing Board Act. File includes copies of complaints, correspondence, investigative reports, and other related records. (File is restricted by G.S. 132-1.4.)

DISPOSITION INSTRUCTIONS: Transfer to Active Employees Register File (Item 39697), Active Licensee File (Item 16628), and/or Firearms Trainers Certificate Holders File (Item 16633) as appropriate after completion of action and resolution of issues involved. Destroy in office after 5 years remaining records if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 39709. LICENSING DATABASE (ELECTRONIC) FILE.

Machine readable records concerning each license issued by the Private Protective Services Board and Alarm Systems Licensing Board. Electronic file includes names and addresses of licensees, social security numbers, license numbers, expiration dates, and other related data. (Comply with applicable provisions of 5 USC Sec. 552a regarding records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Transfer 1 security copy of each data cartridge to an off-site location for back-up storage. Agency representative will update in office electronic file periodically. Erase in office data cartridge when reference value ends.

ITEM 39710. NON-RESIDENT TEMPORARY PERMITS FILE.

Temporary permits issued to individuals who hold a valid protective services license within another state. Permits list names and addresses of individuals and/or businesses, social security numbers, dates of birth, and other related data. (Comply with applicable provisions of 5 USC Sec. 552a regarding records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 39711. OLEORESIN CAPSICUM (OC) SPRAY FILE.

Records concerning individuals authorized to carry OC spray in performance of Private Protective Services related activities. File includes applicants' names, OC numbers, OC endorsement numbers, registration expiration dates, and other related records. Information entered into Oleoresin Capsicum (OC) Spray Database (Electronic) File (Item 39712). (Comply with applicable provisions of G.S. 74C-5, 15 and 12 North Carolina Administrative Code 7D.0105 regarding individuals authorized to carry OC spray.) (Comply with applicable provisions of 5 USC Sec. 552a regarding records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 year(s). Records will be held for agency in the State Records Center 5 additional years and then destroyed.

ITEM 39712. OLEORESIN CAPSICUM (OC) SPRAY DATABASE (ELECTRONIC) FILE.

Machine readable records concerning individuals authorized to carry OC spray. Electronic file includes applicants' names, OC numbers, OC endorsement numbers, registration expiration dates, and other related data. (Comply with applicable provisions of G.S. 74C-5, 15 and 12 North Carolina Administrative Code 7D.0105 regarding individuals authorized to carry OC spray.) (Comply with applicable provisions of 5 USC Sec. 552a regarding records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Transfer 1 security copy of each data cartridge to an off-site location for back-up storage. Agency representative will update in office electronic file periodically. Erase in office data cartridge when administrative value ends.

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ITEM 39715. PRIVATE PROTECTIVE SERVICES BOARD FILE.

Minutes of the Private Protective Services Board. (Records dated August 1973-December 1994 previously microfilmed under Section Minutes File (Item 16626). (This is an essential agency record.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center immediately to be microfilmed for permanent storage in the security vault. Microfilmed paper records will be returned to agency. Transfer returned paper records to the State Records Center when reference value ends. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives. Transfer a duplicate copy of subsequent minutes to the State Records Center for security storage.

ITEM 39716. PRIVATE PROTECTIVE SERVICES BOARD TRAINING DATABASE (ELECTRONIC) FILE.

Machine readable records concerning training sessions approved by Private Protective Services Board and conducted by approved agencies. Electronic file includes names of courses offered, class rosters, dates of training, training locations, and other related data.

DISPOSITION INSTRUCTIONS: Transfer 1 security copy of each data cartridge to an off-site location for back-up storage. Agency representative will update in office electronic file routinely. Erase in office data cartridges when reference value ends.

ITEM 39717. PROPRIETARY SECURITY ORGANIZATIONS DATABASE (ELECTRONIC) FILE.

Machine readable records concerning proprietary security organizations registered in North Carolina. Electronic file includes names and addresses of businesses and contact persons. (Comply with applicable provisions of G.S. 74C-13 and 12 North Carolina Administrative Code 7D.0800 regarding registration of armed security personnel.) (Comply with applicable provisions of 5 USC Sec. 552a regarding records maintained on individuals.) (Electronic database systems are maintained by State Bureau of Investigation, Division of Criminal Information (DCI).)

DISPOSITION INSTRUCTIONS: Update in office electronic file routinely.